



**Motor Carrier Evaluation Program (MCEP)
Management Plan
(Revision 6)**

–Final–

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MOTOR CARRIER EVALUATION PROGRAM

MISSION STATEMENT

It is the responsibility of the United States Department of Energy (DOE) National Transportation Program-Albuquerque (NTP-A) to implement DOE policy and provide the operations management needed to ensure the safe, efficient, regulatory-compliant, and timely transportation of DOE-owned hazardous materials and wastes.

DOE Order 460.2, “Departmental Materials Transportation and Packaging Management,” states that “All carriers utilized to transport Highway Route Controlled Quantities (HRCQ) of radioactive materials in less-than-truckload (LTL) or truckload (TL) quantities, any TL quantities of radioactive material, and hazardous waste in any quantity, shall be evaluated by DOE Field Elements in accordance with the DOE Motor Carrier Evaluation Program Plan and Program Procedures.” In addition, for NTP-A Motor Carrier Evaluation Program (MCEP) use, all carriers transporting the commodity types and configurations listed in DOE Order 460.2 must be registered with the U.S. Department of Transportation as a for-hire motor carrier.

Carriers who do not meet these requirements may still participate in the MCEP through the initial carrier screening and carrier monitoring stages only. For example, in most cases an LTL carrier may not transport TL quantities or HRCQ activity levels of radioactive materials. However, the general requirements of the program can extend to motor carriers regardless of the types of hazardous commodities transported. Therefore, carriers who do not meet the basic requirements for an MCEP onsite evaluation could still participate in the program. Any carrier participating in the MCEP program will have to meet all of the MCEP initial carrier screening and carrier monitoring criteria for transporting DOE-owned commodities.

The MCEP Management and Methodology Plans identify and describe the overall process for compliance with these requirements.

MOTOR CARRIER EVALUATION PROGRAM MANAGEMENT PLAN REVISION 6

1.0 PURPOSE

The U.S. Department of Energy (DOE) National Transportation Program–Albuquerque (NTP–A) Motor Carrier Evaluation Program (MCEP) is a management tool for ensuring that DOE Field Offices and contractors use only MCEP-approved carriers to transport DOE-owned radioactive materials and hazardous waste as identified in DOE Order 460.2. DOE established the MCEP to assist DOE Field Offices and contractor transportation organizations in evaluating, enhancing, and standardizing carrier evaluations across the DOE complex. The MCEP consists of the MCEP Management Plan, Methodology Plan, and Standard Operations Procedures (SOPs) (including the onsite evaluation questionnaire) used to evaluate individual carriers.

This Management Plan Revision 6 provides the purpose, mission, and administrative guidelines for the MCEP. The Plan also establishes and describes the process, standards, and methodology used to evaluate carriers of DOE-owned radioactive materials and hazardous waste and to provide the documentation needed to implement and administer the MCEP in accordance with MCEP Revision 6. The SOPs and other stand-alone documents support the MCEP Management Plan by providing initial carrier screening, onsite evaluation, and carrier monitoring guidance (SOPs), as well as additional evaluation criteria (questionnaire).

Under law, it is the carrier's responsibility to transport materials tendered to it in a safe, regulatory-compliant manner. However, there is ample legal precedent that, under certain circumstances, the shipper could be held liable in the event of an accident or other transportation incident involving radioactive materials and hazardous waste. It is prudent, therefore, for DOE to carefully screen the carriers it uses to transport these commodities.

In performing its transportation-related duties, DOE has established an exemplary safety record, including the shipment of radioactive materials and hazardous wastes. In order to continue this safety record, it is essential that DOE continue to select transporters that are in full compliance with all applicable federal, state, tribal, and local regulations.

2.0 MCEP PROCESS

MCEP Revision 6 makes radical changes to the MCEP evaluation process and methodology to create a more effective program. These changes move the MCEP from a subjective questionnaire-based program designed to evaluate carriers through rotational onsite visits to an objective computer-based monitoring system. There are many distinct advantages to the new program including:



- Continuous monitoring of all MCEP-approved carriers to ensure they maintain the required standards
- More in-depth initial carrier evaluations
- Establishment of an information system to identify poor performance and unsatisfactory trends
- Frequent communication of DOE concerns to MCEP-approved carriers (including “Letters of Caution” and notices of possible termination of MCEP approval to carriers who fail to meet the minimum standards)
- Improved allocation of resources at a reduced cost to continually monitor all MCEP-approved carriers rather than annually evaluating only 5 to 10 carriers

The changes in MCEP methodology have been accomplished in several ways. The most significant is integration of the U.S. Department of Transportation (DOT) SafeStat results into the MCEP. SafeStat information will be the key indicator in both the initial screening of new carriers and the continuous (semiannual) monitoring of qualified carriers. In addition to SafeStat, the NTP–A MCEP relies on information submitted annually by the carrier that identifies changes in items such as company ownership, numbers of vehicles and drivers, types of materials transported, and DOE or hazardous materials problems that might affect the carrier’s ability to perform under DOE requirements.

The MCEP process is divided into three stages (see **Figure 1**). The first and second stages apply to new carriers, while the third involves the monitoring of all carriers qualified under the program. The three stages are:

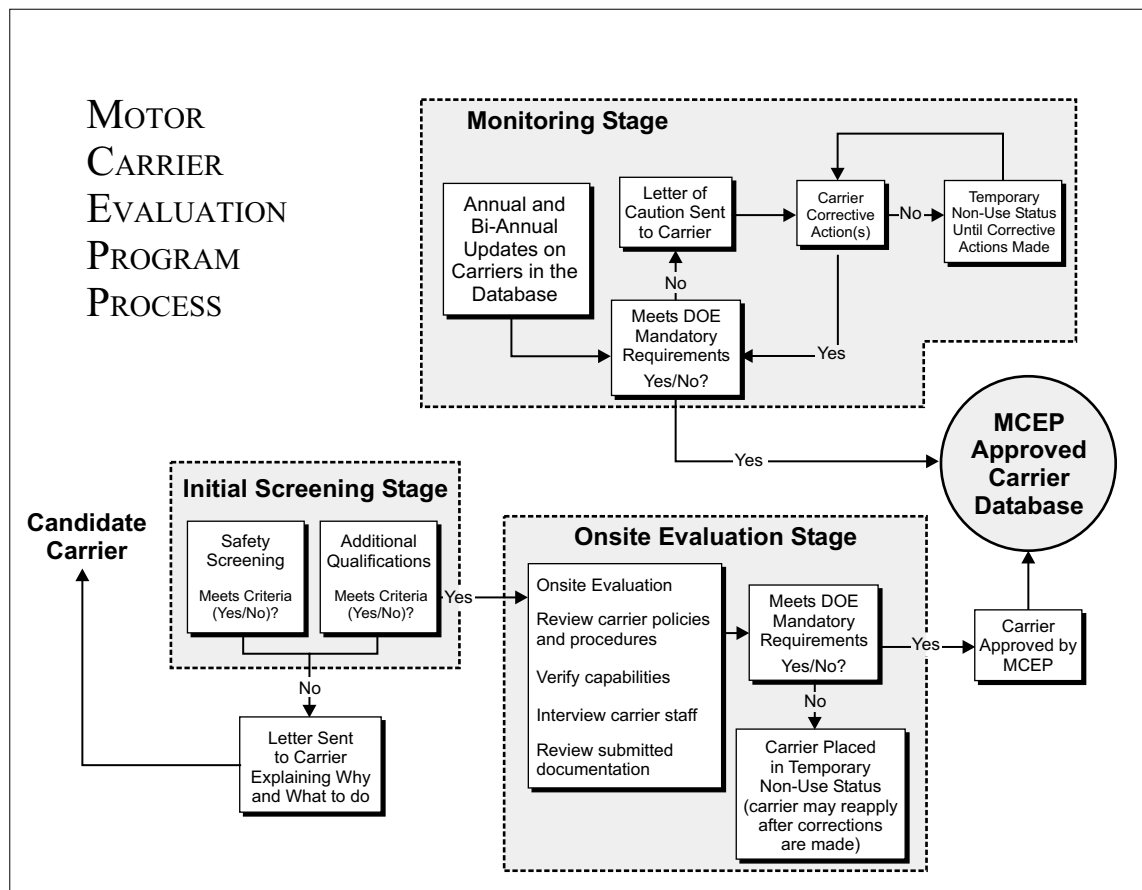
Stage 1 – Initial Carrier Screening: In this stage, the carrier is measured against a set of minimum DOE requirements and a determination is made concerning whether to qualify the carrier for onsite evaluation (Stage 2). Carriers failing to meet the minimum DOE requirements after two Stage 1 attempts are dropped from further consideration for a period of two years after the last failed attempt. The process for initial carrier screening is provided in SOP NTP–A–MCEP.001.

Stage 2 – Onsite Evaluation: A carrier qualified during the initial carrier screening process is subjected to Stage 2, an in-depth onsite evaluation. Additional onsite evaluations may also be performed on carriers as a result of problems identified during the carrier monitoring process (Stage 3). The onsite evaluation process is described in SOP NTP–A–MCEP.002.

Stage 3 – Carrier Monitoring: A carrier that is qualified through the initial carrier screening and onsite evaluation processes (i.e., found to meet the minimum DOE requirements) is identified on the MCEP website as acceptable for use by traffic managers throughout the DOE complex. Once qualified, carriers are continuously monitored (Stage 3) via semiannual assessments to ensure they continue to meet the minimum DOE requirements. Carrier monitoring activities are described in SOP

NTP-A-MCEP.003. In the beginning, all carrier information will be available via FAXBACK. Future enhancements will include a website for all carrier information.

Figure 1



3.0 PERSONNEL RESPONSIBILITIES, QUALIFICATIONS, AND TRAINING

3.1 Responsibilities

The MCEP is staffed by subject matter experts (SME) who administer the program at the national level and perform evaluations and re-evaluations as required by program management. Initial carrier screening and carrier monitoring activities are performed by these SMEs. National-level MCEP personnel also perform onsite evaluations on nationwide and large regional carriers serving multiple sites within the DOE complex, as well as those carriers with DOE negotiated tenders. Assignment to the national MCEP team is determined by the NTP-A Program Manager and/or Contractor Program Manager.

The SMEs are augmented by DOE Field Office and site contractor transportation professionals who are trained to perform MCEP evaluations and re-evaluations on regional and local carriers.

Assignment to regional and local MCEP teams is determined by the appropriate DOE Field Element Traffic Manager.

The following personnel are responsible for the activities indicated:

MCEP NTP–A Program Manager: Provides functional oversight and approval of MCEP activities; defines policy; determines procedures; directs funding allocation; and controls the dissemination of information from the evaluation process to the field.

MCEP Contractor Program Manager: Provides day-to-day management of MCEP activities under the direction of the NTP–A Program Manager.

MCEP Program Lead: Ensures initial carrier screening is performed; schedules onsite evaluations; ensures accuracy of documentation received from carriers and distribution of information submitted to NTP-A; evaluates information on carrier performance metrics received in any of the three stages of the MCEP process; and ensures that evaluators (MCEP team Members) are both qualified and trained.

MCEP Team Member: Individuals qualified by experience and/or training to participate in the MCEP process as evaluators in any of the initial carrier screening, onsite evaluation, or carrier monitoring stages.

3.2 Qualifications and Training

The MCEP Program Lead will maintain a roster for NTP–A of those personnel qualified to participate as team members in onsite evaluations of carriers. Selection of personnel for participation in an evaluation is based on individual qualifications, including training and experience commensurate with the type of carrier being evaluated. In addition, training is provided to all persons involved with the MCEP process to ensure they meet the new requirements of Revision 6. In certain instances, geographic location may play a part in the selection of team members at the direction of program management.

Minimum Personnel Qualifications

MCEP Team Members must:

- Have no personal involvement with the carrier being evaluated (e.g., ownership, past employment, relative working for the carrier, etc.)
- Be current on all training classes identified as requirements for participation in MCEP evaluations
- Have unique additional qualifications that may be required to evaluate a specific carrier
- Be computer-literate and have good writing and oral communication skills

Minimum Personnel Training Required

MCEP Team Members must successfully complete the following:

- MCEP Evaluator's Workshop (DOT and DOE combined)
- Implementation of Federal Motor Carrier Safety Regulations (FMCSRs)
- Vehicle Inspection for Drivers and Supervisors

(Note: Implementation of FMCSRs is taught in conjunction with Vehicle Inspection in the first two days, followed by the MCEP evaluator's Workshop for a total of three full days of training. Those persons with current FMCSR and Vehicle Inspection training are not required to retake these courses for MCEP qualification.)

In addition to the training requirements identified above, it is recommended that evaluation team members undergo training to ensure competence in the techniques of examining, questioning, evaluating, and reporting evaluation data. Additional skills for managing an evaluation may also be required, such as planning, organizing, communicating, and directing. Competence in these areas should be demonstrated through written or oral examination, or other acceptable means. The NTP-A Program Manager and/or Contractor Program Manager may exempt an SME from the training described in this section and qualify that person as an MCEP evaluation team member based on equivalent work experience.

Evaluators are expected to be open-minded and mature; possess sound judgment, analytical skills, and tenacity; have the ability to perceive situations in a realistic way; understand complex operations from a broad perspective; and understand the role of individual units within the overall organization. Evaluators should be able to apply the following attributes to obtain and evaluate objective evidence fairly:

- Remain true to the purpose of the evaluation without apprehension or favor
- Constantly evaluate the effects of evaluation observations and personal interactions during the evaluation
- Treat concerned personnel in a way that will best achieve the evaluation purpose
- Perform the evaluation process without deviating due to distractions
- React effectively in stressful situations
- Arrive at generally acceptable conclusions based on evaluation observations
- Remain true to conclusions despite pressure to change that is not based on objective evidence

4.0 EXTERNAL AND INTERNAL INFORMATION SOURCES

A number of external and internal sources may be used to obtain information about individual carriers as part of the MCEP evaluation process. In accord with the new functionality recently introduced into the MCEP process (MCEP Revision 6), information is gathered on a continuing

basis. Some of this information is obtained during the initial carrier screening stage, and some is collected during the carrier monitoring stage. The items identified below are typical of some of the information sources used throughout the MCEP evaluation process.

SafeStat Program: The DOT SafeStat results have been integrated into the MCEP to provide a current safety assessment based on a carrier's on-road safety performance, and if available, DOT audit and enforcement information. These results assist the MCEP evaluation team in creating an objective picture of the carrier's safety and performance capabilities. The most recent SafeStat results will be utilized in the MCEP initial carrier screening, onsite evaluation, and carrier monitoring stages.

SafetyNet Report: The SafetyNet Report is a comprehensive summary of a motor carrier's safety performance over a period of two to four years. It is a profile of consolidated information from state and federal sources covering vehicle inspections (including drivers), accident summaries, a history of compliance, and federal safety ratings compiled by the Motor Carrier Management Information System for the Federal Motor Carrier Safety Administration.

SAFER: The Federal Motor Carrier Safety Administration's Safety and Fitness Electronic Record (SAFER) system provides electronic carrier safety data to assist industry, government, and the public. Information available via SAFER includes *Carrier Snapshots*, a concise electronic record of a carrier's identification, size, commodity information, and safety record, including the carrier's safety rating (if any) and roadside out-of-service inspection information.

MCEP Carrier Identification Report (CIR): This DOE-designed form provides evaluators with current safety and operational information supplied by the carrier to assist in the evaluation process. This form is completed during the initial carrier screening stage and again on an annual basis as part of the carrier monitoring stage.

Dun & Bradstreet (D&B) Business Information Report: This report provides information about an individual company's operations, financial stability, and overall credit rating, as well as general information such as the company's starting year, number of employees, sales, net worth, and payment history.

EdgarScan: EdgarScan is an interface to the United States Securities and Exchange Commission (SEC) Electronic Data Gathering, Analysis, and Retrieval (EDGAR) Filings. EdgarScan pulls filings from the SEC's servers and parses them automatically to present key financial tables and normalized financials in a common format that is comparable across companies. Users can directly access specific sections of the filing, including financial statements, footnotes, extracted financial data, and computed ratings. EdgarScan is a trademark and service mark of PriceWaterhouseCoopers and was developed at the PWC Global Technology Center.

End User Survey: The End User Survey is a document designed to measure the site-specific performance of a carrier. This document typically includes information concerning on-time performance, equipment availability, sales representative and driver knowledge, claims response, electronic data interchange capabilities, and overall performance. This document is completed annually by the DOE Field or contractor personnel with the greatest knowledge of the carrier. A copy of the End User Survey is provided in SOP NTP-A-MCEP.003.

5.0 ONSITE EVALUATION QUESTIONNAIRE

The MCEP Contractor Program Lead and onsite evaluation team members use an onsite evaluation questionnaire to ensure that information submitted by an individual carrier complies with applicable DOT and DOE requirements. The Onsite Evaluation Questionnaire can be found in SOP NTP-A-MCEP.002. This questionnaire assesses the carrier's development and implementation of corporate policies and procedures in a consistent, accountable manner to comply with regulations governing both the safe transportation of DOE-owned materials (including radioactive materials and hazardous waste) and the safety of carrier employees and equipment, DOE and DOE contractor personnel, the public, and the environment. Onsite evaluation team members are encouraged to add items to the questionnaire as needed to answer questions raised by SafeStat, the MCEP CIR, or other external information sources, or to identify items that require validation or further inquiry.

The questionnaire addresses functions such as hiring practices, driver qualification files, alcohol misuse and controlled substance use testing programs, hours-of-service, hazardous materials (HAZMAT) employee training, vehicle inspection, repair and maintenance, and emergency response, but is not limited to these functions only.

Questions found in Tables A through F in the questionnaire should be answered either "yes," "no," or "not applicable" (N/A). The use of "N/A" should be reserved only for instances in which the activity in question is not required. "NA" should not be used if "no" is the more appropriate answer. In situations where the response is neither fully "yes," nor fully "no," the carrier or evaluators should select "no" as the answer. Clarifying comments regarding the questions or responses should be added as necessary to assist the evaluators in writing the evaluation report. Only objective evidence should be collected to support either "yes" or "no" answers. Objective evidence is defined in International Organizations for Standards (ISO) document ISO 8402:1994, Quality Management/Assurance Vocabulary, as "information that can be proved true, based on facts, obtained through observation, measurement, test, or other means." If an answer to a question is provided via conversation with an evaluator, that answer must be corroborated either by another person who understands or is involved with that particular process, or by the evaluator's own observation of the process.

6.0 MCEP PROGRAM EVALUATION

The MCEP is intended to improve the quality and performance of transportation activities of commercial carriers throughout the DOE complex. To ensure the program's validity and proper maintenance, the MCEP Management Plan will be self-assessed each fiscal year against applicable criteria and requirements.

The NTP-A will review the MCEP Management Plan and SOPs annually or as needed to assure compliance with DOE policy, requirements, and Orders. The NTP-A will review the MCEP onsite evaluation questionnaire annually or as needed to maintain compliance with changing regulations, procedures, and/or policy.

7.0. REFERENCES

1. DOE Order 460.2, Change 1, "Departmental Materials Transportation and Packaging Management," U.S. Department of Energy, Washington, DC, September 27, 1995.
2. SOP NTP-A-MCEP.001, "Requirements for NTP-A and/or Contractor Program Lead to Perform Initial Carrier Screening."
3. SOP NTP-A-MCEP.002, "Requirements for NTP-A, DOE, Contractor Program Lead, and/or Contractor Transportation Personnel to Conduct the Onsite Carrier Evaluation Process."
4. SOP NTP-A-MCEP.003, "Requirements for NTP-A and/or Contractor Program Lead to Perform Carrier Monitoring Activities."